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PTO/SB/21 (modified)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	10/020,558
			Filing Date	December 14, 2001
			First Named Inventor	Sol P. DiJaili
			Group Art Unit Number	2811
			Examiner Name	Not yet known
Total Number of Pages in This Submission	7*	Attorney Docket Number	21153-05927	

ENCLOSURES (check all that apply)	
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<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) []
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REMARKS: *Number of pages does not include cited references

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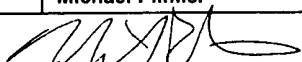
SIGNATURE OF ATTORNEY OR AGENT			
Signature:			
Attorney/Reg. No.:	Michael Plimier, Reg. No.: 43,004	Dated:	March 25, 2002

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Signature:			
Typed or Printed Name:	Michael Plimier	Dated:	March 25, 2002
Express Mail Mailing Number (optional):			

21153/05927/DOCS/1256193.1

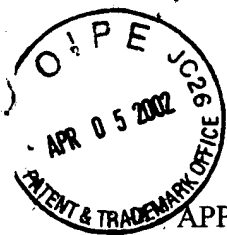
0002BTR (modified) Rev. 10/2001	U.S. Department of Commerce Patent and Trademark Office	Complete if Known	
FEE TRANSMITTAL		Application Number	10/020,558
		Filing Date	December 14, 2001
		First Named Inventor	Sol P. DiJaili
		Group Art Unit	2811
		Examiner Name	Not yet known
Subtotal (1) + Subtotal (2) + Subtotal (3) =		Attorney Docket Number	21153-05927
TOTAL AMOUNT OF PAYMENT			
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METHOD OF PAYMENT		FEE CALCULATION (continued)																																									
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<input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.		<u>Large Entity</u> <u>Small Entity</u>																																									
<input checked="" type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †		Fee Code/Fee Fee Code/Fee Fee Description Fee Due																																									
<input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		105/\$130 205/\$65 Surcharge - late filing fee or oath <input type="text"/>																																									
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1. FILING FEE		128/\$1,960 228/\$980 Extension for response within fifth month† <input type="text"/>																																									
<u>Large Entity</u> <u>Small Entity</u>		119/\$320 219/\$160 Notice of Appeal <input type="text"/>																																									
Fee Code/Fee	Fee Code/Fee	141/\$1,280 241/\$640 Petition to revive unintentionally abandoned application <input type="text"/>																																									
101/\$740 201/\$370	Utility Filing	142/\$1,280 242/\$640 Utility Issue Fee (Or Reissue) <input type="text"/>																																									
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108/\$740 208/\$370	Reissue	122/\$130 122/\$130 Petitions to the Commissioner <input type="text"/>																																									
114/\$160 214/\$80	Provisional Filing	126/\$180 126/\$180 Submission of Information Disclosure Statement <input type="text"/>																																									
SUBTOTAL (1) (\$) 0.00		179/\$740 279/\$370 Request for Continued Examination (RCE) <input type="text"/>																																									
2. CLAIMS		581/\$40 581/\$40 Recording each patent assignment per property (times number of properties) <input type="text"/>																																									
<u>Large Entity</u> <u>Small Entity</u>	Fee Description	146/\$740 246/\$370 Filing a submission after final rejection (37 CFR 1.129(a)) <input type="text"/>																																									
Fee Code/Fee Fee Code/Fee		149/\$740 249/\$370 For each additional invention to be examined (37 CFR 1.129(b)) <input type="text"/>																																									
103/\$18 203/\$9	Claims in excess of 20	Other fee (specify): <input type="text"/>																																									
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104/\$280 204/\$140	Multiple dependent claim	SUBTOTAL (3) (\$) 0.00																																									
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		<table border="1"><thead><tr><th colspan="2">(Col. 1)</th><th colspan="2">(Col. 2)</th><th colspan="2">(Col. 3)</th><th colspan="2"></th></tr><tr><th>For</th><th>No. of Existing Claims</th><th colspan="2">Highest No. Previously Paid For</th><th>Extra**</th><th>Fee</th><th colspan="2">Fee Due</th></tr></thead><tbody><tr><td>TOTAL</td><td></td><td>minus*</td><td>20 or 0</td><td>=</td><td>x</td><td>=</td><td></td></tr><tr><td>INDEP</td><td></td><td>minus*</td><td>3 or 0</td><td>=</td><td>x</td><td>=</td><td></td></tr><tr><td colspan="8">[] First presentation of multiple dependent claim</td></tr></tbody></table>		(Col. 1)		(Col. 2)		(Col. 3)				For	No. of Existing Claims	Highest No. Previously Paid For		Extra**	Fee	Fee Due		TOTAL		minus*	20 or 0	=	x	=		INDEP		minus*	3 or 0	=	x	=		[] First presentation of multiple dependent claim							
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SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Michael Plimier	Reg. Number	43,004
Signature		Date	March 25, 2002

21153/05927/DOCS/1256195.1

† Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Sol P. DiJaili, Jeffrey D. Walker and John M. Wachsman
APPLICATION NO.: 10/020,558
FILING DATE: December 14, 2001
TITLE: Optical Logical Circuits Based on Lasing Semiconductor
Optical Amplifiers
EXAMINER: Not yet known
GROUP ART UNIT: 2811
ATTY. DKT. NO.: 21153-05927

9-11-02
TO: 21153-05927
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Dated: March 25, 2002

By: [Signature]

Michael Plimier, Reg. No.: 43,004

COMMISSIONER FOR PATENTS
WASHINGTON, DC. 20231

INFORMATION DISCLOSURE STATEMENT

Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO-1449 listing references for consideration by the Examiner. Enclosed is a copy of each listed reference that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;

- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;
- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ attached hereto is the fee set forth under 37 CFR § 1.17(p) for submission of this Information Disclosure Statement under 37 CFR § 1.97(c); OR
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; or (2) an action that otherwise closes prosecution in the application, and:
 - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
 - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
 - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a

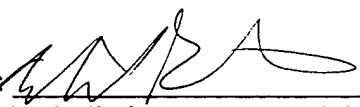
foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant request that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. _____, filed on _____, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,
Sol P. DiJaili, Jeffrey D. Walker and
John M. Wachsman

Dated: 3/25/02

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